

JC02 Rec'd PCT/PTO 27 MAR 2002

FORM PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER M01/40
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U. S. APPLICATION NO. (If known, see 37 CFR 1.5) <b>10/089188</b>
INTERNATIONAL APPLICATION NO. PCT/IL00/00555	INTERNATIONAL FILING DATE September 10, 2000	30 SEPTEMBER 1999 & 17 APRIL 2000
TITLE OF INVENTION REMOVABLE, ACTIVE, PERSONAL STORAGE DEVICE, SYSTEM AND METHOD		
APPLICANT(S) FOR DO/EO/US MORAN et al.		

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to being national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19<sup>th</sup> month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (NOT SIGNED)
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 16. below concern document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☐ Other items or information: APPLICATION DATA SHEET

U. S. APPLICATION NO. (If known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO. <b>10/089188</b>		<b>1013 Rec'd PCT/PTO 27 MAR 2002</b> PCT/IL00/00555 M01/40	
17. <input type="checkbox"/> The following fees are submitted:  <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5):</b> Neither international preliminary examination fee (37 CFR 1.482) Nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO And International Search Report not prepared by the EPO or JPO ..... <b>\$970.00</b>  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$840.00</b>  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$690.00</b>  International preliminary examination fee (37 CFR 1.482) paid to USPTO But all claims did not satisfy provisions of PCT Article 33(1) - (4)..... <b>\$670.00</b>  International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1) - (4)..... <b>\$96.00</b>				<b>CALCULATIONS PTO USE ONLY</b>	
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>\$ 710.00</b>	
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 Months from the earliest claimed priority date (37 CFR 1.492(e)).				<b>\$ 130.00</b>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	50 -20 =	30	X <b>\$18.00</b>	<b>\$540.00</b>	
Independent claims	3 -3 =	0	X <b>\$78.00</b>	<b>\$</b>	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ <b>\$260.00</b>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$ 1380.00</b>	
Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).				<b>\$</b>	
<b>SUBTOTAL =</b>				<b>\$ 690.00</b>	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 Months from the earliest claimed priority date (37 CFR 1.492(f)).				<b>\$</b>	
<b>TOTAL NATIONAL FEE =</b>				<b>\$ 690.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be Accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property				+ <b>\$</b>	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$ 690.00</b>	
				<b>Amount to be refunded:</b>	
				<b>\$</b>	
				<b>Charged:</b>	
				<b>\$</b>	
a. <input type="checkbox"/> A check in the amount of \$_____ to cover the above fees is enclosed.  b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>502090</u> in the amount of \$ <u>690</u> to cover the above fees. A duplicate copy of this sheet is enclosed.  c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>502090</u> . A duplicate copy of this sheet is enclosed.					
<b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.</b>					
SEND ALL CORRESPONDENCE TO:					
DR. D. GRAESER LTD. C/O THE POLKINGHORNS 9003 FLORIN WAY UPPER MARLBORO MARYLAND 20772 USA			<div style="text-align: center;">          SIGNATURE       </div> <div style="text-align: center;"> <u>D'VORAH GRAESER</u>          NAME       </div> <div style="text-align: center;"> <u>40,000</u>          REGISTRATION NUMBER       </div>		

G/pvt

1

## REMOVABLE, ACTIVE, PERSONAL STORAGE DEVICE, SYSTEM AND METHOD

**FIELD AND BACKGROUND OF THE INVENTION**

The present invention relates to a device, a system and method for removable, active,  
5 personal storage, and in particular for such a device, system and method which are suitable for operation with multiple computational devices at remote access points.

Computers are useful for the storage, retrieval and manipulation of data. Currently, many different types of electronic data storage devices are used in conjunction with computers. These electronic storage devices may be located externally or internally to the computer with which the  
10 storage device is in communication. For example, a magnetic storage device, such as hard disk drive, could be located internally to the computer, in direct communication with the system bus of the computer and operated by the CPU (central processing unit) of the computer. Flash memory, which is both readable and writable non-volatile memory, is a physically smaller storage device, which may be located within the physical case of the computer, and which is also  
15 connected to the system bus and operated by the CPU.

Removable storage media may also be used to store data, in which a hardware device, or "drive", for reading from and/or writing to the storage medium, is connected to the system bus of the computer. Examples of removable storage media include, but are not limited to, optical disks, CD-ROM disks and floppy diskettes. At some level, all of these various hardware devices  
20 are in communication with the computer which operates the device, regardless of the location of the electronic storage device. Therefore, access to the data is provided through such a computer.

There are a number of important aspects for data storage, particularly given the prevalence of communication through the Internet. First, data storage should be secure. Second, data storage should be accessible at multiple locations, such that the user can access the data at  
25 more than one access point. Unfortunately, these two goals are directly contradictory, as permitting access to the data from multiple access points significantly decreases the security of the data. A third important aspect of data storage is personalization, such that the user who owns the data is able to access it quickly and easily, yet such access is blocked to other, non-authorized users. None of these aspects is satisfied by currently available solutions which are known in the  
30 art.

As an example, with regard to data security, currently, most forms of data access control are implemented as software programs, which have a number of disadvantages. For example, these programs may be "hacked" or overcome by an unauthorized user, who can then gain access

to the data. Such a disadvantage has become more acute with the advent of networks, distributed data storage and “client-server” applications, all of which increase the number of access points to the computer through which the electronic storage device is accessed, and hence to the stored data on that device. Such an increased number of access points also potentially increase the ability of an unauthorized user to access the data. Thus, software programs are clearly not adequate protection for data stored in a networked environment with multiple access points.

Another type of data access control is provided through the operating system of the computer itself. For example, UNIX and other operating systems typically allow an authorized user to determine the level of permissions associated with a particular file and/or sub-directory, which could be “read-only”, “read/write” and so forth. Unfortunately, such permissions are often relatively simple, only differentiating between “read” and “write” for example. Also, like other types of software programs, these operating systems may be “hacked” by an unauthorized user, who can then gain access to the data.

In addition, if the electronic hardware storage device itself is stolen, then typically the data becomes completely unprotected, such that any unauthorized user can easily gain access to the data on the storage device. Neither software programs nor the operating system of the computer can overcome this problem, since they are stored and implemented separately from the storage device itself.

A more useful solution would be implemented with the hardware of the electronic storage device in a more integrated manner, such that even if the storage device itself is stolen, the data could not be easily accessed. Furthermore, such integration would increase the difficulty of access by an unauthorized user, whether to a network or to the local storage device itself. Furthermore, such a device should be portable, so that the user could transport the device and retrieve the data at remote locations. The overall solution should also permit personalization of the data storage and retrieval functions. Unfortunately, such a solution is not currently available.

There is thus an unmet need for, and it would be useful to have, a device, a system and a method for removable, active, personal storage, which does not rely on separately stored software programs, which is optionally integrated with the hardware of the storage device, and which is highly portable for use by the user at multiple locations.

### **BRIEF DESCRIPTION OF THE DRAWINGS**

The foregoing and other objects, aspects and advantages will be better understood from the following detailed description of a preferred embodiment of the invention with reference to

the drawings, wherein:

FIG. 1 is a schematic block diagram of an exemplary system according to the present invention;

FIG. 2 is a schematic block diagram of a preferred embodiment of a system according to the present invention;

FIG. 3 is a flowchart of an exemplary method for operating the system of Figure 2 according to the present invention;

FIG. 4 shows another embodiment of the present invention, for an access control device for controlling access to data; and

FIG. 5 shows a flowchart of an example of a method according to the present invention, with regard to access to data in the form of a stored credit card number.

### **SUMMARY OF THE INVENTION**

The present invention is of a device, a method and a system for providing removable, active, personal storage. The device itself features sufficient computational power and resources to perform various tasks with regard to data storage and retrieval. In particular, these resources are provided such that the management of the memory of the storage device is performed at the device level, rather than requiring management by an external operating system, such as the operating system of an external computational device for example.

At a minimum, the device features a data processor of some type for executing instructions related to memory management, a flash memory device for storing the data and instructions, and some type of connector for connecting the device to an external computational device. For example, such a connection could optionally be made with a USB controller and a USB connector at the device, for connecting the active device through the USB bus of the external computational device. Alternatively, the connection could optionally be made through a Bluetooth-enabled transceiver at the device itself and at the external computational device. Preferably, the present invention is implemented as an active data device, such as a chip for example, which more preferably controls access to the network. This implementation is preferred, since such electronic devices are more difficult to "hack" for access by an unauthorized user.

The device of the present invention may optionally be implemented in a number of different ways, all of which are considered to be within the scope of the present invention, including but not limited to, devices connected to a computer through any suitable hardware

connection interface; a single chip with a microprocessor and firmware for operating the access features.

According to the present invention, there is provided a device for controlling access to a resource, access being provided through a host device having a USB bus, the device comprising:

5 (a) an input for receiving a request to access the resource; (b) a flash memory device for storing at least one permission for determining access to the resource; (c) a flash memory controller for controlling said flash memory device; (d) a processor for executing said at least one instruction and for comparing said request to said at least one permission, such that if said at least one permission includes a type of access requested in said request, access to the resource is provided,

10 and alternatively if said at least one permission does not include a type of access requested in said request, access to the resource is not provided; and (e) a USB interface controller for communicating with the USB bus of the host device and, if permitted, for transmitting data from said processor.

Hereinafter, the terms "computer user" and "user" both refer to the person who operates a

15 computer which is in communication with a data storage device.

Hereinafter, the term "computer" refers to a combination of a particular computer hardware system and a particular software operating system. Examples of such hardware systems include those with any type of suitable data processor. Hereinafter, the terms "computer" or "computational device" include, but are not limited to, personal computers (PC)

20 having an operating system such as DOS, Windows™, OS/2™ or Linux; MacOS™, Macintosh™ computers; computers having JAVA™-OS as the operating system; and graphical workstations such as the computers of Sun Microsystems™ and Silicon Graphics™, and other computers having some version of the UNIX operating system such as AIX™ or SOLARIS™ of Sun Microsystems™; a PalmPilot™, a PilotPC™, or any other handheld device; any other device

25 featuring known and available operating system; as well as any type of device which has a data processor of some type with an associated memory. Hereinafter, the term "Windows™" includes but is not limited to Windows95™, Windows NT™, Windows98™, Windows CE™ Windows 2000™, Windows ME™ and any upgraded versions of these operating systems by Microsoft Corp. (USA).

30 Hereinafter, the term "biometric detection device" refers to any type of device which is capable of capturing data with regard to a biological parameter of a user, including, but not limited to, a fingerprint detection device and a device which performs a retinal scan.

For the present invention, a software application could be written in substantially any

suitable programming language, which could easily be selected by one of ordinary skill in the art. The programming language chosen should be compatible with the computer by which the software application is executed, and in particular with the operating system of that computer. Examples of suitable programming languages include, but are not limited to, C, C++ and Java.

Furthermore, the functions of the present invention, when described as a series of steps for a method, could be implemented as a series of software instructions for being operated by a data processor, such that the present invention could be implemented as software, firmware or hardware, or a combination thereof.

#### DETAILED DESCRIPTION OF THE INVENTION

The present invention is of a device, a method and a system for providing removable, active, personal storage. The device itself features sufficient computational power and resources to perform various tasks with regard to data storage and retrieval. In particular, these resources are provided such that the management of the memory of the storage device is performed at the device level, rather than requiring management by an external operating system, such as the operating system of an external computational device for example. At a minimum, the device features a data processor of some type for executing instructions related to memory management, a flash memory device for storing the data and instructions, a flash controller for controlling access to a flash memory device and some type of connector for connecting the device to an external computational device. For example, such a connection could optionally be made with a USB controller and a USB connector at the device, for connecting the active device through the USB bus of the external computational device. Alternatively, the connection could optionally be made through a Bluetooth-enabled transceiver at the device itself and at the external computational device.

Optionally and preferably, the present invention also features an authenticator, for identifying and authenticating the user. Such an authenticator may optionally and more preferably feature a biometric detection device, which collects a biological parameter of the user in order to identify the user. Examples of different types of biological parameters which optionally could be collected with such a biometric detection device include, but are not limited to, fingerprint, face image recognition, retinal print, iris image analysis, hand geometry, voice analysis, ear shape, detection of odor of the user, palm print and finger geometry. Once the biological parameter has been collected, in a step which is also termed "enrollment", the biological parameter data is analyzed. This analysis involves the extraction of at least one, and

preferably a plurality of, features of the pattern of the biological parameter. For identification of the user, these feature(s) are compared to stored data which was previously captured from the user. If a sufficient number of points of similarity are found, then the user is considered to be identified. If the identified user has the necessary permission(s), then the operation is performed and/or access is provided by the device according to the present invention.

In addition, optionally and more preferably, the present invention features an encryption engine for encrypting data which is transmitted, and for decrypting received data, such that data security is maintained for the transmission of the data. Most preferably, the encryption engine is implemented as a chip or other hardware device and/or component of the present invention, for greater portability and more efficient operation of the encryption/decryption procedure.

The authentication and encryption operations are optionally and most preferably combined in the present invention through the employment of a cryptographic device, preferably implemented as a chip. The cryptographic device enables security operations such as authentication of the device to the system to which the external host computational device is connected, encryption and decryption of data, verification of the authenticity of data and so forth. An example of a standard algorithm implemented in a cryptographic device is RSA, known also as private/public key protocol, which is based on a private, confidential code (or data stream), and a public code that the owner of the device may publish. Another party can use the public key to authenticate the owner of the device, for example in order to permit them to access information or perform operations in the system. By exchanging public keys with another party, the system enables each party to authenticate the other party and to communicate securely. Another example is DES, which enables high-speed encryption and decryption of data. Cryptographic protocols that may be implemented in the device include, but are not limited to DES, Triple-DES, SSL, DH/DSS, IDEA, CAST and RSA.

Preferably, the present invention will execute the cryptographic functions by emulating a smart-card. A smart card is a standard implementation of cryptographic functionality in a cryptographic system. The smart card is typically constructed in the form of a credit card which has an internal cryptographic chip. The interface to the cryptographic chip is defined in the smart card standard. The interface adapter between a smart card and a computational device is through a smart-card reader. Commercial security systems for processing secured operations based on authentication using a smart card are available. Unfortunately, smart-card readers are not common devices and are not installed on most computational devices. The present invention has the advantage of providing the functions of a smart card, and of emulating the interface to a



smart card, but through a common interface adapter to the computational device. Most preferably, the cryptographic chip stores encrypted smart card data.

Optionally and preferably, the cryptographic chip performs encryption immediately upon receiving a command from the data processor of the active device. Alternatively or additionally and preferably, the cryptographic chip creates a cryptographic signature with a hash immediately upon receiving a command from the data processor of the active device.

The cryptographic chip may also optionally feature a cryptographic chip memory for storing at least one cryptographic key and at least one cryptographic instruction for encrypting and decrypting data, such that the cryptographic chip forms a removable encryption engine together with the active device. Encrypted data could then be stored on the cryptographic chip memory. Such a cryptographic chip memory is also optionally implemented as a separate flash memory device from the flash memory device of the active device, or alternatively the cryptographic chip memory is the flash memory device of the active data device of the present invention. Alternatively the cryptographic chip memory is a separate EEPROM or a combination of an EEPROM and flash memory as described above.

Preferably, the present invention is implemented as an active data device, such as a chip for example, which more preferably controls access to the network. This implementation is preferred, since such electronic devices are more difficult to "hack" for access by an unauthorized user.

The present invention has many different and optional applications and implementations, such as for controlling access to the data stored on the device; controlling access to a network resource; controlling access to credit card information; for identifying a user according to a PIN, biometric or other identification information; for controlling access to a particular location according to the identity of the user; for securing communication with another computational device, and for controlling access to various types of data files, such as music files in the MP3 format and so forth. Indeed, the present invention may optionally be implemented for use with an MP3 player, which is a device capable of playing MP3 files. In such an implementation, the device of the present invention would also preferably feature an additional interface for communicating with the MP3 player. Thus, the present invention provides a more secure solution for the control of access.

The device of the present invention may optionally be active in initiating interaction with other computational devices. For example upon attachment of the device to a computational device with potential access to the Internet, the device may activate processes in the

computational device for initiating a connection to the Internet, or to another computational device or a specific resource such as a particular Web site on the Internet. Another example is that the device may accumulate data transactions, such as purchase transactions performed through the Internet, and initiate the process of sending the transactions to the owner of the device.

The device of the present invention may optionally be implemented in a number of different ways, all of which are considered to be within the scope of the present invention. For example, the device of the present invention may be implemented as a removable device for temporary connection to a computer, or alternatively may be implemented as a permanent peripheral device. The device may optionally be connected through any suitable hardware connection interface, for example. As another option, the device may feature a single chip with a microprocessor and firmware for operating the data access features. Alternatively, the device may be composed of a plurality of separate functional units which are not combined in a single chip. The implementation of the system may optionally include software applications executing on the computational device to which the device is attached, and/or to other computational devices attached to the Internet.

According to a preferred embodiment of the present invention when implemented as a USB computational device, the device itself is connected to another computational device and/or network through a flexible USB connector. The USB connector in a typical background art computer workstation or laptop is usually located near other connectors or devices. Each computer vendor locates the connector in a different location with different surroundings, which may include other types of connectors and/or ports. If these other near connectors are in use, the device of the present invention may not have sufficient space to be inserted into the USB port. The provision of a flexible USB connector solves this problem. In addition, the USB connector according to the present invention more preferably features a protector of some type, in order for the USB connector to be kept without being damaged or accumulating dirt.

The advantage of the present invention is that memory management is locally provided by an active device, such that an additional computational device is not required in order to control the operations of the present invention. Therefore, the present invention is operating system-independent. At the time of connection between the device of the present invention and an external computational device, the CPU of the host external computational device negotiates with the present invention. The USB interface of the present invention is more preferably a generic driver, which can then be automatically adjusted for interaction with the operating

system of the host computational device. A specific driver for memory management of the device of the present invention, operated by the operating system of the host computational device, is not required since the device of the present invention performs housekeeping and other memory management functions locally. Thus, the present invention is far more flexible than other devices which are known in the art, as these latter known devices cannot provide the active device functions of the present invention.

The principles and operation of a device, a system and a method according to the present invention may be better understood with reference to the drawings and the accompanying description, it being understood that these drawings are given for illustrative purposes only and are not meant to be limiting.

Referring now to the drawings, Figure 1 is a schematic block diagram of an illustrative, exemplary system according to the present invention for controlling data access. A system **10** features a computational device **11** which contains a CPU **12** for executing instructions, such as a request to read data for example. System **10** also features other computational devices **17** connected to computational device **11** through a network.

CPU **12** is connected to a bus **14**. An active data device **16** is also connected to bus **14**, such that active data device **16** is in communication with CPU **12** through bus **14**. Bus **14** is preferably a USB (universal serial bus), although of course bus **14** may alternatively be implemented as any other suitable type of bus connection.

The user is preferably identified and authenticated by active data device **16**, which then determines the type of access permitted to the user. Such access may optionally include access to local data storage of active data device **16** (not shown; see Figure 2), and/or to one or more resources of computational device **11** (not shown). Generally, active data device **16** preferably determines whether the user is able to access information stored in the local storage of active data device **16**, computational device **11**, or other computational devices **17**.

Active data device **16** is optionally implemented according to any one of a plurality of different specific embodiments. For example, active data device **16** could optionally be implemented as a chip, with a non-volatile memory which is both readable and writable, such as a flash memory device for example, some type of input for receiving a request for data, and a microprocessor. The chip is preferably implemented as a programmable ASIC.

Figure 2 shows a more detailed schematic block diagram of an exemplary implementation of active data device **16**. Active data device **16** features a data processor **18**, which operates instructions for controlling the functions of active data device **16**, as well as for

communicating with host external computational device **11**. Data processor **18** reads these instructions from a memory component **20**, which is preferably a flash memory device. In the preferred implementation, memory component **20** is controlled by a flash controller **22**, which in turn receives commands from data processor **18** regarding access to the stored information in  
5 memory component **20**.

Memory component **20** more preferably features instructions for memory management, such that data processor **18** is able to manage memory component **20** through flash controller **22**, most preferably without requiring any type of management from an external computational device such as host external computational device **11**. One example of a suitable memory  
10 management system for a flash memory is disclosed in US Patent No. 5,404,485, entitled "Flash File System", which is hereby incorporated by reference as if fully set forth herein.

According to a preferred embodiment of the present invention, memory component **20** also serves for storing data for the user, apart from data which is stored in order to facilitate the operation of active data device **16**. Memory component **20** thus preferably acts as a local data  
15 storage device for the user, with the stored data being accessed by the user through commands sent to data processor **18**. Optionally memory **20** is external to active device **16** ASIC.

Active data device **16** communicates to external devices, such as host computational device **11**, through a USB interface controller **24** and a USB connector **26**. USB interface controller **24** and USB connector **26** in turn communicate with CPU **12** through USB bus **14**, for  
20 transmitting and receiving data.

The operation of these components of active data device **16** may optionally be performed as follows. Once the correct type of access for the user has been determined, active data device **16** communicates with CPU **12** of computational device **11** through USB bus **14**. In this case, computational device **11** is the USB host, while active data device **16** is considered to be a slave  
25 device, such that only computational device **11** is empowered to initiate a communication session. Active data device **16** features USB interface controller **24**, which is a chip for translating digital data into analog signals. These signals are then sent through USB connector **26** to USB bus **14**. USB connector **26** is optionally and more preferably implemented as a flexible connector, such that USB connector **26** can be connected to USB bus **14** regardless of  
30 the structure and layout of the surrounding ports, for other connectors and peripheral devices. In addition, USB connector **26** according to the present invention more preferably features a protector of some type, in order for USB connector **26** to be kept without being damaged or accumulating dirt.

The operation of the internal components of active data device **16** with regard to computational device **11** is optionally and preferably performed as follows, it being understood that this is only one exemplary method for performing such an interaction. First, data processor **18** initializes USB interface controller **24**, as well as memory component **20**, and optionally a security processing unit **38** and/or a biometric detection device **28**, as described in greater detail below. Next, USB interface controller **24** waits for an initialization signal from computational device **11**, which is the host device. Once the initialization signal has been received, data from computational device **11** is accepted.

As such data is transmitted, USB interface controller **24** signals data processor **18** that a message has been received. Data processor **18** then receives and analyzes the message. Data processor **18** performs one or more actions, as required by the contents of the message, and data is prepared for USB interface controller **24** to return to computational device **11**.

Depending upon the contents of the message from computational device **11**, data processor **18** may process and store data in memory component **20**, for example, if the message contained a command to store data at active data device **16**. Alternatively, as commanded by computational device **11**, data processor **18** may read data from memory component **20**, and then send the read data to USB interface controller **24** for transmission to computational device **11**.

According to optional but preferred embodiments of the present invention, active data device **16** features biometric detection device **28** for the purpose of identifying a user. As for Figure 1, access to computational device **11**, as well as to an optional local data storage of active data device **16** at memory **20**, as previously described, is provided through active data device **16**. However, active data device **16** now determines access to computational device **11** and optionally local data storage according to the biological parameter of the user, which is measured by biometric detection device **28** for the purpose of identifying the user.

Biometric detection device **28** is optionally implemented according to a plurality of different embodiments. For example, biometric detection device **28** could be implemented as a fingerprint detection device or as a retinal scanning device. As a fingerprint detection device, biometric detection device **28** is optionally and preferably implemented as a FingerChip™ (Thomson-CSF Semiconducteurs Specifiques, France; see [www.tcs.thomson-csf.com/Us/fingerchip/fc\\_home.htm](http://www.tcs.thomson-csf.com/Us/fingerchip/fc_home.htm) as of March 23, 2000). Biometric detection device **28** optionally and preferably contains an internal memory **30** for storing instructions on the scanning of fingerprints, and more preferably on the interpretation of such fingerprints with regard to stored fingerprint data. The stored fingerprint data is also optionally

stored on internal memory 30, but alternatively is stored on memory component 20 of active data device 16. If biometric detection device 28 contains internal memory 30, then more preferably a data processor 32 is also present.

Biometric detection device 28 also includes a sample collector 34 for collecting a sample  
5 of the biological parameter. For example, for a fingerprint detection device, sample collector 34 preferably includes a thermal imaging fingerprint sensor for collecting the fingerprint data, as described in greater detail below. The fingerprint data is then optionally analyzed by biometric detection device 28, and more specifically by a software module which is stored in internal memory 30 and which is operated by data processor 32. Alternatively, the fingerprint data is  
10 analyzed by a software module being operated by active data device 16. Similarly, a retinal scan could be collected with sample collector 34, optionally implemented as a light scanner which is suitable for transmitting light into the eye of the user.

In an exemplary embodiment with the FingerChip™ device, sample collector 34 is optionally implemented with this device. The FingerChip™ device is a small silicon chip  
15 (smaller than the size of the fingertip), which is a thermal imaging sensor. Other types of sensors for collecting fingerprint data include, but are not limited to, optical sensors which use light in conjunction with a scanning device such as a CCD (charge-coupled device) camera for example; devices which sense capacitance; and combinations of such sensors (see  
[www.tcs.thomson-csf.com/fingerchip/DownloadFAQ/faq.htm](http://www.tcs.thomson-csf.com/fingerchip/DownloadFAQ/faq.htm) as of March 23, 2000 for an  
20 explanation of the different devices, including the FingerChip™ device itself). Such a chip can optionally be connected to an analog-to-digital (A/D) converter 36 for converting the analog thermal signal to a digital signal. The digital signal is then optionally passed to data processor 32 for analysis, as described in greater detail below.

Once the biological parameter has been collected from the user and analyzed, the specific  
25 identity of the user can optionally be determined. Such a specific identity can then be used to determine the type of access which is to be granted to the user. Such access is preferably determined through the operation of data processor 18 for active data device 16, which preferably reads one or more instructions which are stored on memory component 20. These instructions contain information for correlating the identity of the user to various types of access  
30 which should be given to the user, optionally with a user profile for determining the preferences of the user for interacting with computational device 11 and/or local data storage provided through memory component 20.

As previously described, if memory component 20 is a flash ROM device, preferably

memory component 20 features flash controller 22 for controlling interactions between data processor 18 and memory component 20. Optionally and more preferably, memory component 20 may also include a RAM (random access memory) device, to enable data processor 18 to perform the instructions contained on memory component 20, as well as to act as a communication buffer.

According to preferred embodiments of the present invention, active data device 16 features a security processing unit 38. Security processing unit 38 features an encryption engine for optional encryption of data which is transmitted to computational device 11, and decryption of any encrypted data which may be received from computational device 11. Security processing unit 38 features an authentication engine for storing authentication code(s) for the owner of the device. The authentication engine can participate in such an authentication process. Security processing unit 38 optionally features an authenticity algorithm which can affirm the authenticity of data. Security processing unit 38 is optionally and preferably implemented as a hardware device, such as chip, for more rapid performance and a more secure implementation of the encryption/decryption procedures.

Figure 3 is a flowchart of an exemplary method according to the present invention for the operation of the preferred system of Figure 2. This method is explained with regard to the detection of a fingerprint as a biological parameter for the purposes of illustration only and without any intention of being limiting. In addition, the method is also explained with regard to the use of the present invention for determining access to a network resource only for the purposes of illustration, and again without any intention of being limiting.

In step 1, the user connects the USB connector of the active data device to the host computational device. It should be noted that the active data device is preferably highly portable, such that the user could easily carry the active data device to each host computational device to which the active data device is to be connected.

In step 2, the active data device performs a handshake procedure with the host computational device, through the USB interface of the active data device and the USB bus of the host computational device, as previously described.

In step 3, according to preferred embodiments of the present invention, the user places a finger in proximity to the biometric detection device, in order to gain access to the requested network resource. For example, with regard to the FingerChip™ device, as described in greater detail above, the finger of the user is swept over the surface of the chip such that at least the pad of the fingertip of the user touches this chip.

In step 4, the biometric detection device detects the presence of the finger of the user in order to begin the collection procedure. For example, with regard to the FingerChip™ device, the presence of the fingertip is sensed by a thermal sensor, such that a sharp alteration in the thermal pattern indicates that the fingertip of the user is in proximity to the device (see  
5 [www.tcs.thomson-csf.com/fingerchip/description/reconstr.htm](http://www.tcs.thomson-csf.com/fingerchip/description/reconstr.htm) as of March 23, 2000 for an explanation of the entire detection and data collection procedure). Of course, other implementations of such a device may optionally employ alternate mechanisms.

In step 5, the data related to the biological parameter of the user is collected by the sample collector of the biometric detection device. For example, data acquisition may involve  
10 the collection of one or more images, such as the thermal images of the FingerChip™ device. Each such image is of at least a portion of the fingertip of the user. Optionally and preferably, a plurality of images are collected.

In step 6, the data is analyzed in order to determine whether the collected biological parameter of the user is a sufficiently close match to the stored identification information of a  
15 permitted user. The user is presumed to have provided a measurement of such a biological parameter previously, in order for this information to be stored for later comparison.

For example, for fingerprint detection, preferably the plurality of images (if collected) are assembled to form a single image. Next, the assembled image is analyzed for pattern detection, in order to compare at least one, and preferably a plurality of, points of similarity to the stored  
20 data.

In step 7, the biometric detection device, or alternatively the active data device if the two devices are implemented separately, determines whether the collected biological parameter is sufficiently similar to a stored pattern with the requisite permission, in order for the user to be granted access to the network resource. Optionally, a log may be kept of access attempts, and/or  
25 of unsuccessful access attempts.

In step 8, if the collected biological parameter is sufficiently similar to the stored pattern, then the user is given permission to access the requested data, such as at the host computational device and/or at the local data storage on the active data device itself. Alternatively, the user is not given permission to access the requested information, if the collected biological parameter is  
30 not sufficiently similar.

If the user is given permission to access the requested information, then in step 9, the data is retrieved, either from the local memory storage of the active data device, or alternatively from the data storage of the host computational device. Optionally and more preferably, the user may



be given differential permission to access different types of data. More preferably, such differential permission is compared to the identification information about the user, such that the active data device is able to determine whether the user can perform the requested type of access on the particular data.

5           According to preferred embodiments of the present invention, the user may choose to transmit or receive encrypted data, in step 10. For example, if the user wants to send data from the local memory of the active data device to the host computational device, such data is optionally and more preferably encrypted by the active data device before being sent to the host computational device.

10           Optionally, in addition to the identification procedure described above, an authentication procedure is also performed for authenticating the user to the host computational device, for example. In this procedure, the identity of the user is preferably sent to the host computational device, optionally and more preferably with an authentication code. The host computational device then examines the identification and optional authentication code information, to  
15           determine if the user should be given access to one or more computational resources. If the host computational device authenticates the user according to the provided information, then the user is permitted access to one or more computational resources. Most preferably, the authentication process involves a multiple part handshake procedure between the active device and the host computational device, for a more secure authentication procedure. Optionally, the authentication  
20           process may also include authentication of the active device to a system, including a handshake procedure between a remote computational device, the active device and the host computational device. The remote computational device may be connected to the host computational device through the Internet.

25           Bluetooth is a standard for a wireless digital communications technology which is based on radio frequency (RF) transmission. Bluetooth is intended to interconnect computational devices such as home computers, hand held devices and peripherals. Therefore, the standard requires low power consumption, such that a relatively short-range connection between the receiver and the transmitter is also required.

30           Bluetooth devices are organized into networks, called "piconets", which contain small groups of such devices. A device which implements the Bluetooth technology, termed herein a "Bluetooth device", may be a master or a slave in a network of such devices. A piconet has one master device, and one or more slave devices which receive commands from the master device. A device may optionally belong to more than one piconet. A piconet is synchronized to a pattern

of frequencies, in which all devices in the piconet communicate at the same frequency for a predetermined period of time, after which all devices transfer communication to the next frequency in the pattern. The master device chooses the frequency pattern to be used.

The Bluetooth standard features a discovery protocol for the dynamic formation of each particular Bluetooth network. The master device initiates the discovery process in order to locate other available slave devices. After a connection is established and the network has been formed, digital data can be transferred between the devices through the network.

Figure 4 shows another embodiment of the present invention, for an access control device for controlling access to data. This embodiment of the present invention may be active or passive, in that this embodiment may be composed of components which rely upon the management and control of the host computational device. Furthermore, such a device may optionally be implemented with the biometric detection device of Figure 2, according to the method of Figure 3. Alternatively or additionally, the device could be implemented with either Bluetooth or USB communication, as previously described.

As for Figure 1, a system 40 features a CPU 42 for executing instructions, such as a request to read data for example. CPU 42 is connected to a bus 44. An access control device 46 is also connected to bus 44, such that access control device 46 is in communication with CPU 42 through bus 44. Bus 44 is preferably a USB (universal serial bus), although of course bus 44 may alternatively be implemented as any other suitable type of bus connection.

A data storage device 48 is in communication with access control device 46, such that any attempts to access data in data storage device 48 must pass through access control device 46. Preferably, as shown, data storage device 48 is not in direct communication with bus 44. Therefore, if CPU 42 receives an instruction to read data from data storage device 48, CPU 42 preferably cannot directly read such data by sending a command through bus 44 directly to data storage device 48. Rather, preferably CPU 42 must send the command to access control device 46, which then determines if such access should be granted and the data read from data storage device 48. Thus, more preferably, data can only be read from, and written to, data storage device 48 through access control device 46.

Access control device 46 is optionally implemented according to a plurality of different embodiments, at least partially determined by the particular type of data storage device 48. For example, access control device 46 could optionally be implemented as a chip, with a non-volatile memory which is both readable and writable, such as a flash memory device for example, some type of input for receiving a request for data, and a microprocessor. As described in greater

detail below, the various types of permissions could optionally be stored on the non-volatile memory, along with a set of instructions operated by the microprocessor. The chip could also be implemented as a programmable ASIC.

When access control device 46 receives a request for particular data which is stored in data storage device 48, the stored instructions are executed by the microprocessor in order to compare the request for the data to the stored permissions. If the stored permissions are such that the data request may be fulfilled, as described in greater detail below, then access control device 46 enables data to be retrieved from data storage device 48. Otherwise, access control device 46 does not enable the data to be retrieved. Since preferably data storage device 48 can only be accessed through access control device 46, if such access is not granted by access control device 46, then the data cannot otherwise be retrieved.

Access control device 46 could also optionally be directly integrated into data storage device 48. For example, if data storage device 48 is a flash memory device, which is typically embodied as a chip, then the functions of access control device 46 could be integrated into the chip itself. For example, data storage device 48 could be incorporated into a single chip with a microprocessor for access control device 46, and firmware for operating the data access features. Alternatively, access control device 46 may optionally only feature logic, such that access control device 46 would interact with CPU 42 for operating software for interacting with the logic, and hence for performing the data access method of the present invention. Alternatively, access control device 46 and data storage device 48 may be implemented as a plurality of separate functional units which are not combined in a single chip.

However, the implementation of access control device 46 as a chip, or other electronic device, whether integrated into, or separate from, data storage device 48, is particularly preferred since such an implementation also enables the security of access control device 46 to be more easily maintained, as electronic hardware devices are more difficult to "hack" for unauthorized access. As described above, access control device 46 is preferably implemented as firmware, which combines software instructions stored on a hardware memory, with additional hardware components such as a microprocessor for performing the instructions.

According to preferred embodiments of the present invention, system 40 enables a plurality of different types of permissions for accessing data to be stored by access control device 46, such that a variety of different types of data access can be provided. As an example, one type of permission could be a standard read and write permission, but with write protection, such that access control device 46 would permit data to be read from data storage device 48, but

would block an attempt to write data to data storage device 48. If such a permission is to be stored in an abbreviated code, the code for this particular type of permission could be given as "R/W/WP", for example. Such a code could optionally be stored in the non-volatile memory of access control device 46, for example. However, the permission is such that it could be changed to permit such write access, or a read and write permission with no write protection, with a code as follows: R/W/NP. These standard types of read and write permissions are often used for hard disks, floppy diskettes and other storage media, for example.

The present invention also preferably enables more complex types of permissions to be implemented. For example, the permission could be given as "write once and read many times", or "WO/RM" in code form, such that the data could only be written to data storage device 48 once, but could be read from data storage device 48 many times. One example of a useful implementation of such a permission is the storage of a picture for identifying a user, for example in order to permit access to a particular location.

Another type of optional but preferred implementation of a permission is "write once, no read, comparison with yes/no answer only", or "WO/NR/C" in code form. This type of permission indicates that the data can only be written to data storage device 48 once and cannot be read from data storage device 48. However, access control device 46 can enable the data to be compared with received data, but would only provide information in the form of a "yes" or "no" answer as a result of the comparison. One example of a useful implementation of such a permission is for a PIN (personal identification number) or other number for identifying a user, such as for accessing a bank account or using a credit card. Access control device 46 can receive data in the form of the PIN or other information entered by the user, and can then compare the received data to data which is stored in data storage device 48. Access control device 46 would then confirm whether the correct PIN or other identification information had been entered by returning a positive or negative comparison. The stored data would not be released from data storage device 48, such that the PIN could not be read from data storage device 48 by an unauthorized user. Thus, data security would be maintained, while still enabling the identity of the user to be confirmed according to an entered PIN or other identification information.

One variation of this type of permission incorporates permission, or lack thereof, for updating the stored data. With regard to the example above, the PIN or other identification information could optionally be changed for updating, if the permission is given as updatable, or WO/NR/C/U in code form. Alternatively, if the permission is given such that the data cannot be updated, or WO/NR/C/U in code form, then the data cannot be altered.

A more specific example of these different types of permissions, and their use thereof, is given below with regard to Figure 5, which features a flowchart of an illustrative and exemplary method according to the present invention for controlling data access.

Figure 5 shows a flowchart of an example of a method according to the present invention, with regard to access to data in the form of a stored credit card number. In step 1, a plurality of different types of information are combined to form the credit card number. Preferably, the format of the credit card number is given as follows: YYYZZZDDDAAA, in which YYY is a code which identifies the originator of the credit card data, such as the provider of the credit card; ZZZ is an identification number for the credit card account, which currently forms the credit card number in background art implementations of a credit card; DDD, which optionally features other data about the credit card account, such as the date when the credit card was issued, where the credit card was issued, the expiration date and so forth; and AAA, which optionally and preferably is a PIN as previously described.

In step 2, each portion of the credit card number is stored with a separately selected and assigned data access permission, which optionally and preferably is different for each portion of the number. For example, preferably "YYY", "ZZZ" and "DDD" are each stored with the permission assigned as WO/RM (write once, read many times); AAA is preferably stored with the permission assigned as WO/NR/C/U (write once, do not read, compare only, updatable). These permissions are described in greater detail above.

In step 3, the user attempts to purchase a product with the credit card number. In step 4, the merchant or other party receiving the payment enters the credit card number. It should be noted that this step is optionally performed substantially automatically, for example for e-commerce through a Web site. In step 5, the access control device receives the credit card number.

In step 6, the access control device determines the type of permission for each portion of the credit card number. In step 7, the access control device performs the commands which are permitted, optionally including reading the portions of the credit card number which are designated as "YYY", "ZZZ" and "DDD", and performing a comparison with the portion of the credit card number which is designated as "AAA". In step 8, the permitted information is returned by the access control device. Thus, this illustrative method is an example of the utility of the present invention for validating a credit card number for performing a purchase.

Other types of data which could be stored with an assigned type of permission according to the present invention include, but are not limited to, an access control code, an identification

code and various types of data files, as described in greater detail below.

For example, an access control code could be implemented with a combination of different types of data, each of which could again feature a separately selected and assigned data access permission, which optionally and preferably is different for each portion of the data. If the access control code is implemented as a number, then preferably these different types of data are as follows, with the data access permissions. The first portion of the access control code is optionally a code which identifies the data as an access control code, and which is preferably stored as "WO/RM". The second portion of the access control code is preferably the access code itself, and is preferably stored as "WO/NR/C/U".

Similarly, an identification code is optionally and preferably composed of a first portion which identifies the data as an identification code, and which is preferably stored as "WO/RM", and a second portion which is the unique identification code, for example for a hardware device, which is preferably stored as "WO/RM".

Other types of data files may be stored with associated permission types as desired, which are constructed as previously described. For example, most data files are preferably stored as "R/W" data, with the decision to permit writing to the data ("R/W/WP") or not to permit such writing ("R/W/NP"), decided according to user preference. Thus, the present invention can accommodate many different types of uses for the control of data access.

According to another optional embodiment of the present invention, data could be stored on the storage device according to a data access type which may be defined as "read a few times, then delete". According to this preferred type of data access, a file would be stored on the device of the present invention and could then be read only a predefined number of times, which preferably would be a plurality of different read times. After the data had been read the predefined number of times, the device of the present invention would then delete the data, or otherwise render the data inaccessible for an additional data read. This type of data access is preferred for file types such as MP3 music files, which may be provided by a vendor for only such a predefined number of data read accesses, for example in order to prevent the unauthorized redistribution of such files.

For any of the embodiments of Figures 1-5, optionally and preferably, the device features a modified user interface. More preferably, the device of the present invention does not feature a keyboard or a display screen. Instead, the device more preferably communicates with the user through audio data, such as through synthesized human speech for example. Additionally or alternatively, the device preferably provides information concerning the state of device operation

with a LED, for example. Optionally and most preferably, the device is able to communicate more information about the state of device operation by sending an e-mail message or triggering the host computational device to send an e-mail message to a predetermined e-mail address.

Thus, the device of the present invention is most preferably able to communicate with the user

5 without a GUI (graphical user interface).

It will be appreciated that the above descriptions are intended only to serve as examples, and that many other embodiments are possible within the spirit and the scope of the present invention.

## WHAT IS CLAIMED IS:

1. A device for controlling access to a resource, access being provided through a host device having a USB bus, the device comprising:
  - (a) an input for receiving a request to access the resource;
  - (b) a flash memory device for storing at least one permission for determining access to the resource;
  - (c) a flash memory controller for controlling said flash memory device;
  - (d) a processor for executing said at least one instruction and for comparing said request to said at least one permission, such that if said at least one permission includes a type of access requested in said request, access to the resource is provided, and alternatively if said at least one permission does not include a type of access requested in said request, access to the resource is not provided; and
  - (e) a USB interface controller for communicating with the USB bus of the host device and, if permitted, for transmitting data from said processor.
2. The device of claim 1, wherein the device is implemented as a programmable ASIC.
3. The device of claim 1, wherein access is determined according to a biological parameter of a user, the device further comprising a biometric detection device for detecting said biological parameter of the user and for determining whether the user has said at least one permission to access the stored data, said biometric detection device being connected to said processor.
4. The device of claim 3, wherein said biometric detection device further comprises:
  - (i) a sample collector for collecting said biological parameter of the user; and
  - (ii) a software module for analyzing said biological parameter to determine whether the user has said at least one permission to access the resource.
5. The device of claim 4, wherein said biometric detection device further comprises:
  - (iii) a memory device for storing said software module and at least one previously collected biological parameter of the user; and



- (iv) a data processor for operating said software module.
6. The device of claim 5, wherein said biological parameter of the user is a fingerprint of the user.
7. The device of claim 1, further comprising:
- (f) a RAM component for storing data for performing said at least one instruction of said data processor.
8. The device of claim 1, further comprising:
- (f) a cryptographic chip for encrypting and decrypting data.
9. The device of claim 8, wherein said cryptographic chip performs an authentication process.
10. The device of claim 8, wherein said cryptographic chip emulates a smart card.
11. The device of claim 10, wherein said cryptographic chip stores encrypted smart card data.
12. The device of claim 8, wherein said cryptographic chip performs encryption immediately upon receiving a command from said data processor.
13. The device of claim 12, wherein said cryptographic chip creates a cryptographic signature with a hash immediately upon receiving a command from said data processor.
14. The device of claim 8, wherein said cryptographic chip further comprises a cryptographic chip memory for storing at least one cryptographic key and at least one cryptographic instruction for encrypting and decrypting data, such that said cryptographic chip forms a removable encryption engine.
15. The device of claim 14, wherein said encrypted data is stored on said cryptographic chip memory.

16. The device of claim 15, wherein said cryptographic chip memory is a separate flash memory device from said flash memory device.

17. The device of claim 15, wherein said cryptographic chip memory is said flash memory device.

18. A system for controlling access to a network resource, the system comprising:

- (a) an active data device for controlling access to the network resource, said active data device featuring a USB (universal serial bus) interface controller;
- (b) a host computational device for communicating with said active data device to provide access to the network resource, said host computational device featuring a USB bus for communicating with said USB interface controller for data exchange with said active data device; and
- (c) a network for connecting said host computational device to the network resource.

19. The system of claim 18, wherein said active data device further comprises firmware for storing a plurality of instructions and a data processor for performing said plurality of instructions, such that said active data device determines said access according to said instructions of said firmware.

20. The system of claim 18, wherein said active data device is implemented as a programmable ASIC.

21. The system of claim 18, wherein said active data device further comprises:

- (i) a non-volatile memory for storing at least one instruction for determining access to the network resource; and
- (ii) a processor for executing said at least one instruction to determine if access is to be provided to the network resource.

22. The system of claim 21, wherein said non-volatile memory is a flash memory device, such that said active data device further comprises a flash controller for being controlled

by said processor.

23. The system of claim 18, wherein access is determined according to a biological parameter of a user and said active data device further comprises a biometric detection device for detecting said biological parameter of the user and for determining whether said user has permission to access the network resource.

24. The system of claim 23, wherein said biometric detection device further comprises:

- (i) a sample collector for collecting said biological parameter of the user; and
- (ii) a software module for analyzing said biological parameter to determine whether said user has said permission.

25. The system of claim 24, wherein said biometric detection device further comprises:

- (iii) a memory device for storing said software module and at least one previously collected biological parameter of the user; and
- (iv) a data processor for operating said software module.

26. The system of claim 25, wherein said biological parameter of the user is a fingerprint of the user.

27. The system of claim 18, further comprising:

- (d) a cryptographic chip on said active device for encrypting and decrypting data, such that access to said host computational device is determined according to an authentication procedure performed with said cryptographic chip.

28. A method for controlling access to a resource, access being provided through a host device having a USB bus, the method comprising the steps of:

- (a) providing an active data device for determining access to the resource, said active data device featuring an USB interface controller;
- (b) receiving a request to access the resource by said active data device;
- (c) comparing said request to at least one permission for determining access to the

26

resource by said active data device;

- (d) if said at least one permission includes a type of access requested in said request, sending said request from said active data device to the USB bus of the host device through said USB interface controller;
- (e) providing access to the resource through the host device; and
- (f) alternatively, if said at least one permission does not include said type of access requested in said request, rejecting said request by said active data device.

29. The method of claim 28, wherein access is determined for a user and wherein step (b) further comprises the steps of:

- (i) collecting a biological parameter of said user; and
- (ii) analyzing said biological parameter to determine an identity of said user, such that said at least one permission is determined according to said identity.

30. A device for controlling access to a resource, access being provided through a host device having a radio transceiver, the device comprising:

- (a) an input for receiving a request to access the resource;
- (b) a flash memory device for storing at least one permission for determining access to the resource;
- (c) a flash memory controller for controlling said flash memory device;
- (d) a processor for executing said at least one instruction and for comparing said request to said at least one permission, such that if said at least one permission includes a type of access requested in said request, access to the resource is provided, and alternatively if said at least one permission does not include a type of access requested in said request, access to the resource is not provided;
- (e) a device radio transceiver for communicating with the radio transceiver of the host device and, if permitted, for transmitting data from said processor; and
- (f) a radio transceiver interface controller for controlling said device radio transceiver.

31. The device of claim 30, wherein said radio transceiver is implemented according

to Bluetooth technology.

32. A system for controlling access to a network resource, the system comprising:
- (a) an active data device for controlling access to the network resource, said active data device featuring a device radio transceiver;
  - (b) a host computational device for communicating with said active data device to provide access to the network resource, said host computational device featuring a radio transceiver for communicating with said device radio transceiver for data exchange with said active data device; and
  - (c) a network for connecting said host computational device to the network resource.

33. The system of claim 32, wherein said radio transceiver is implemented according to Bluetooth technology.

34. A system for controlling access to stored data, the system comprising:
- (a) an electronic data storage device for storing the stored data; and
  - (b) an access control device for controlling access to said electronic data storage device, such that the stored data is only accessed through said access control device, and such that said access control device determines access to the stored data according to at least one permission.

35. The system of claim 34, wherein said data storage device and said access control device are implemented as a plurality of separate components.

36. The system of claim 34, wherein said access control device further comprises:
- (i) an input for receiving a request to access the stored data;
  - (ii) a non-volatile memory for storing at least one permission for determining access to the stored data;
  - (iii) at least one instruction for determining a permitted access according to the at least one permission, said at least one instruction being stored on said non-volatile memory; and
  - (iv) a processor for executing said at least one instruction and for comparing said

request to said at least one permission, such that if said at least one permission includes a type of access requested in said request, the stored data is provided, and alternatively if said at least one permission does not include a type of access requested in said request, the stored data is not provided.

37. The system of claim 36, wherein said non-volatile memory is a flash memory device.

38. The system of claim 37, further comprising:

- (c) a CPU (central processing unit) for transmitting said request to said access control device and for receiving provided data; and
- (d) a bus for connecting said CPU to said access control device, such that said electronic data storage device is not accessed through said CPU, but only through said access control device.

39. The system of claim 38, wherein said bus is a USB (universal serial bus).

40. The system of claim 39, wherein said at least one permission is for comparing said request to the stored data and for returning a positive or negative comparison, such that if said request is identical to the stored data, said comparison is positive, and alternatively such that if said request is not identical to the stored data, said comparison is negative, and such that the stored data is not read.

41. The system of claim 34, further comprising:

- (c) an MP3 player for playing MP3 file data; and
- (d) an MP3 interface for said access control device, said MP3 interface enabling said access control device to communicate with said MP3 player to determine access to said MP3 file data.

42. A device for controlling access to data stored in an electronic data storage device, the device comprising:

- (a) an input for receiving a request to access the stored data;
- (b) a non-volatile memory for storing at least one permission for determining access

to the stored data;

- (c) at least one instruction for determining a permitted access according to the at least one permission, said at least one instruction being stored on said non-volatile memory; and
- (d) a processor for executing said at least one instruction and for comparing said request to said at least one permission, such that if said at least one permission includes a type of access requested in said request, the stored data is provided, and alternatively if said at least one permission does not include a type of access requested in said request, the stored data is not provided.

43. A method for controlling access to data stored in an electronic data storage device, the method comprising the steps of:

- (a) providing an access control device for determining access to the electronic data storage device;
- (b) receiving a request to access the stored data by said access control device;
- (c) comparing said request to at least one permission for determining access to the stored data by said access control device;
- (d) if said at least one permission includes a type of access requested in said request, performing said request for accessing the stored data from the electronic data storage device by said access control device; and
- (e) alternatively, if said at least one permission does not include said type of access requested in said request, rejecting said request by said access control device.

44. The method of claim 43, wherein said type of access includes permission to read from the stored data, such that step (d) includes the step of reading from the stored data.

45. The method of claim 44, wherein said type of access includes permission to write to the stored data, such that step (d) includes the step of writing to the stored data.

46. The method of claim 43, wherein said type of access only includes comparing said request to the stored data and for returning a positive or negative comparison, such that if said request is identical to the stored data, step (d) includes the step of returning a positive comparison, and alternatively such that if said request is not identical to the stored data, step (d)

includes the step of returning a negative comparison, such that the stored data is not read.

47. The method of claim 43, wherein the stored data is a credit card number, and said credit card number features a plurality of types of data, each of said plurality of types of data being stored with a separately selected access permission.

48. The method of claim 43, wherein the stored data has a permission for a predetermined number of data read accesses, such that step (c) includes the steps of:

- (i) determining a number of performed data read accesses for the stored data; and
- (ii) if said number of performed data read accesses is less than said predetermined number of data read accesses, permitting the stored data to be read.

49. The method of claim 43, wherein access is determined for a user and wherein step (b) further comprises the steps of:

- (i) collecting a biological parameter of said user; and
- (ii) analyzing said biological parameter to determine an identity of said user, such that said at least one permission is determined according to said identity.

50. A device for controlling access to data stored in an electronic data storage device by a user, access being determined according to a biological parameter of the user, the device comprising:

- (a) a biometric detection device for detecting said biological parameter of the user and for determining whether the user has said at least one permission to access the stored data;
- (b) an input for receiving a request to access the stored data;
- (c) a non-volatile memory for storing at least one permission for determining access to the stored data;
- (d) at least one instruction for determining a permitted access according to the at least one permission, said at least one instruction being stored on said non-volatile memory; and
- (e) a processor for executing said at least one instruction and for comparing said request to said at least one permission, said processor being connected to said biometric detection device, such that if said at least one permission includes a type



WO 01/23987

PCT/IL00/00555

31

of access requested in said request, the stored data is provided, and alternatively if said at least one permission does not include a type of access requested in said request, the stored data is not provided.

(19) World Intellectual Property Organization  
International Bureau



(43) International Publication Date  
5 April 2001 (05.04.2001)

PCT

(10) International Publication Number  
**WO 01/23987 A1**

(51) International Patent Classification<sup>7</sup>: **G06F 1/24**,  
11/30, 17/30, 17/60, G08B 19/02

(21) International Application Number: PCT/IL00/00555

(22) International Filing Date:  
10 September 2000 (10.09.2000)

(25) Filing Language: English

(26) Publication Language: English

(30) Priority Data:  
09/409,091 30 September 1999 (30.09.1999) US  
09/550,491 17 April 2000 (17.04.2000) US

(71) Applicant (for all designated States except US): **M-SYSTEMS FLASH DISK PIONEERS LTD.** [IL/IL]; Kiryat Atidim, P.O. Box 58036, 61580 Tel Aviv (IL).

(72) Inventors; and

(75) Inventors/Applicants (for US only): **MORAN, Dov** [IL/IL]; Itamar-Ben-Avi 15, 44406 Kfar Saba (IL).  
**ELAZAR, Gidi** [IL/IL]; Netafim 2, 44862 Tsur Yigal

(IL). **HARKABI, Dan** [IL/IL]; Meshek 17, 79360 Moshav Lahish (IL). **DAN, Raz** [IL/IL]; 30 Borohov Street, Apt. No. 6, 64252 Tel Aviv (IL).

(74) Agent: **BRASS, Daniel**; Plinner, Bodner & Brass, Beit Agish Ravad, 13 Noach Mozes Street, 67442 Tel Aviv (IL).

(81) Designated States (*national*): AE, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CR, CU, CZ, DE, DK, DM, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA, UG, US, UZ, VN, YU, ZA, ZW.

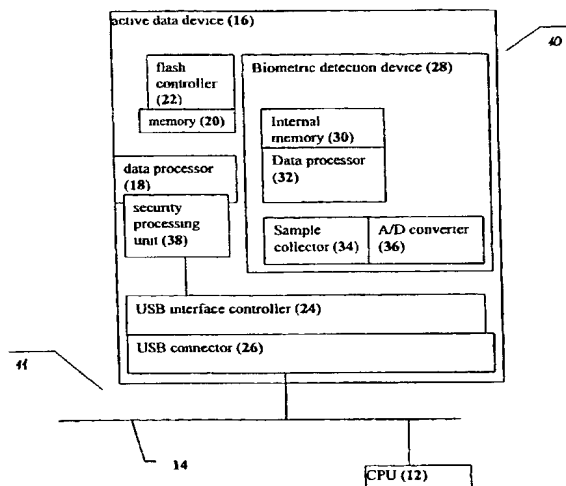
(84) Designated States (*regional*): ARIPO patent (GH, GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).

Published:

— With international search report

[Continued on next page]

(54) Title: REMOVABLE, ACTIVE, PERSONAL STORAGE DEVICE, SYSTEM AND METHOD



(57) Abstract: A System for providing removable, active, personal storage. The device itself (10) features sufficient computational power (18, 32, 38) and resources (24, 26, 32, 22) to perform various tasks with regard to data storage and retrieval. In particular, these resources are provided such that the management of the memory of the storage device is performed at the device level, rather than requiring management by an external operating system, such as the operating system of an external computational device. At a minimum, the device features a data processor of some type for executing instructions relating to memory management (32), a flash memory device for storing the data and instructions (20), a flash controller for controlling access to a flash memory device (22), a USB controller (24) and a USB connector (26), for connecting the device to an external computational device through the USB bus (14) of the external computational device (12).

Figure 1

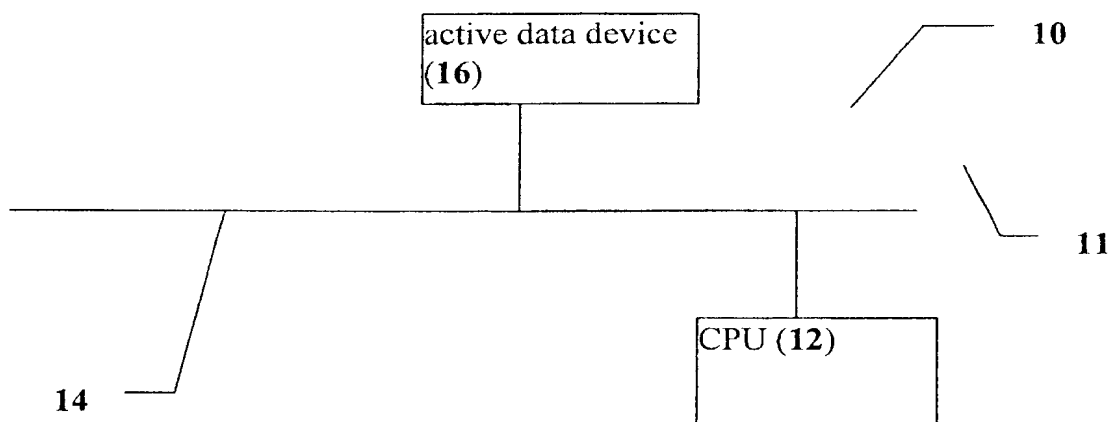


Figure 2

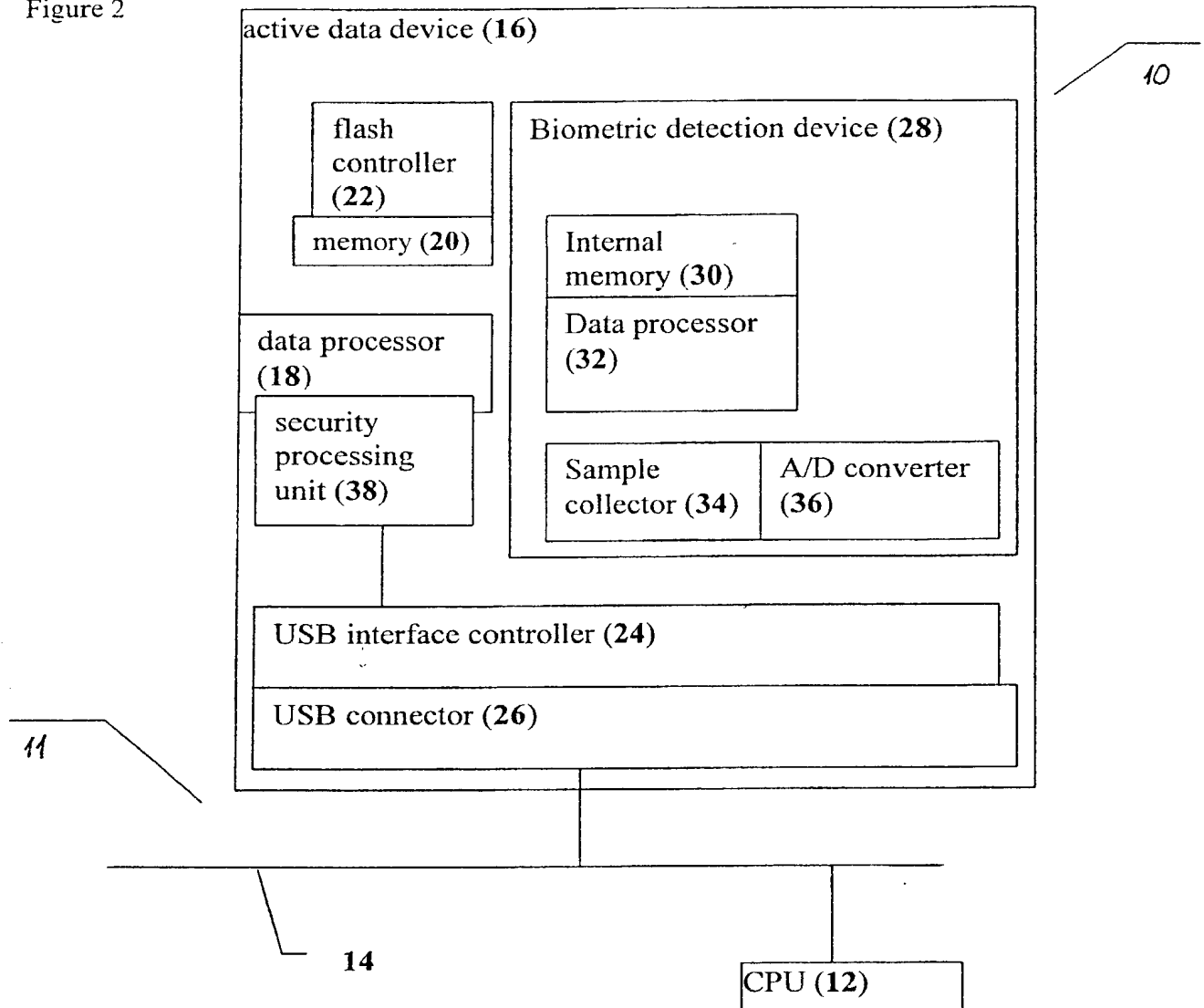


Figure 3

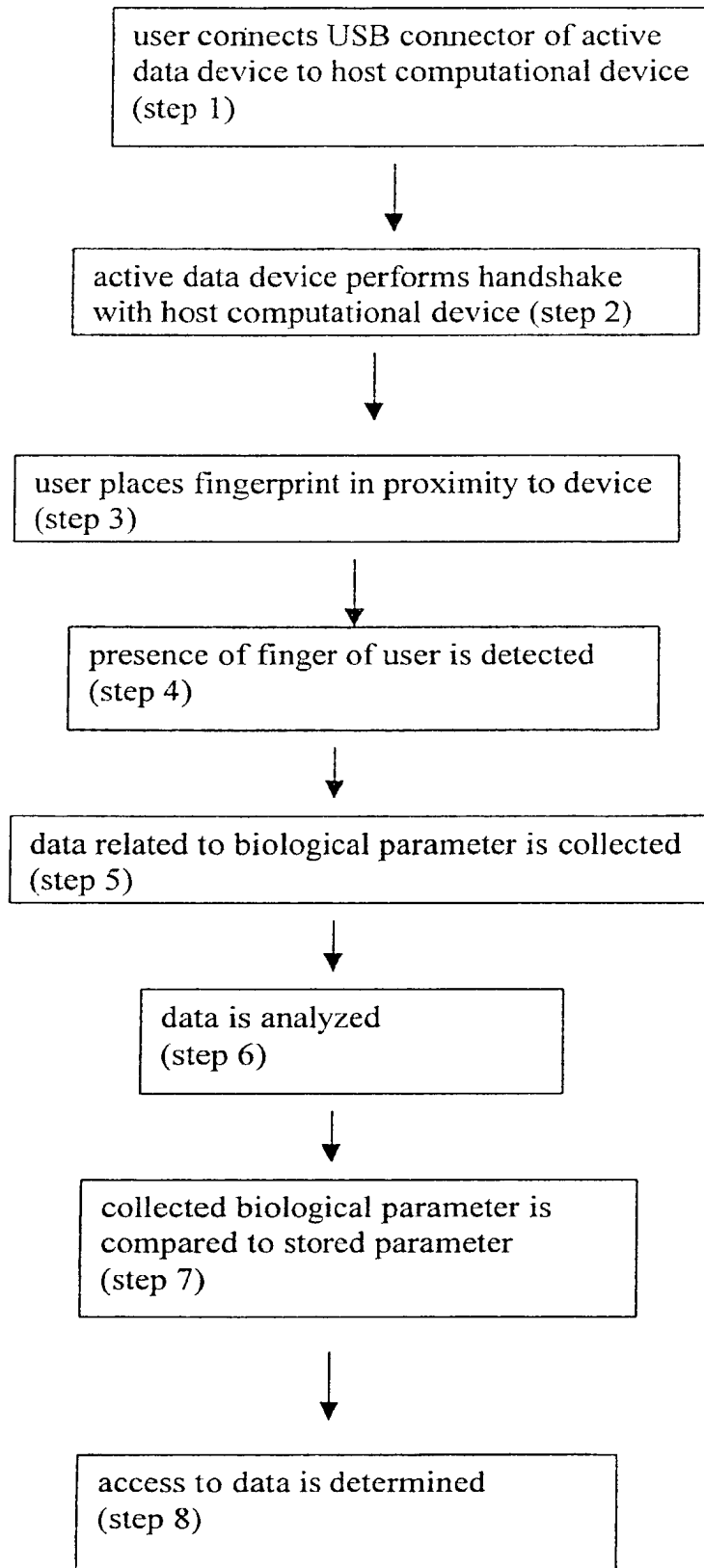


Figure 3 (con't)

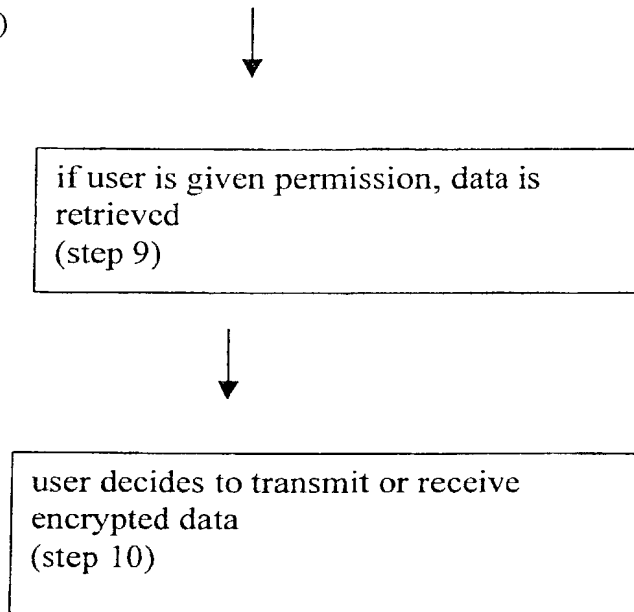


Figure 4

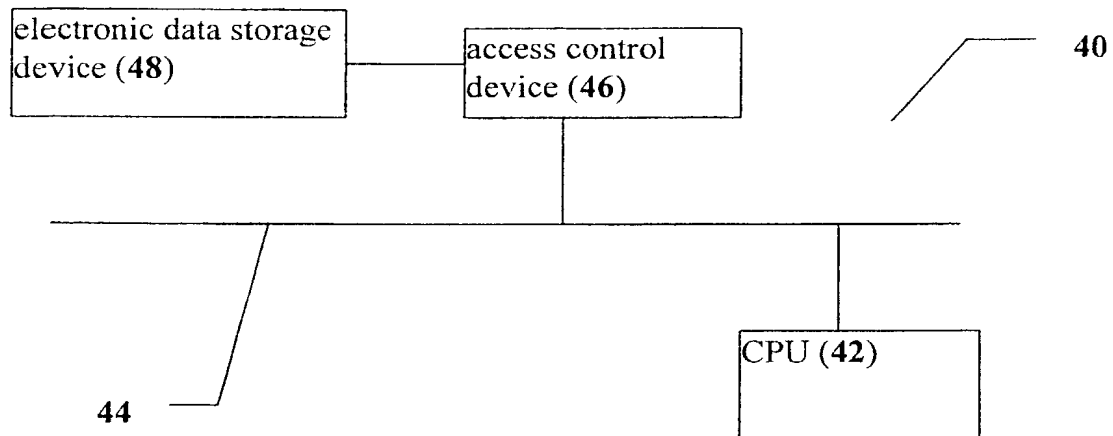
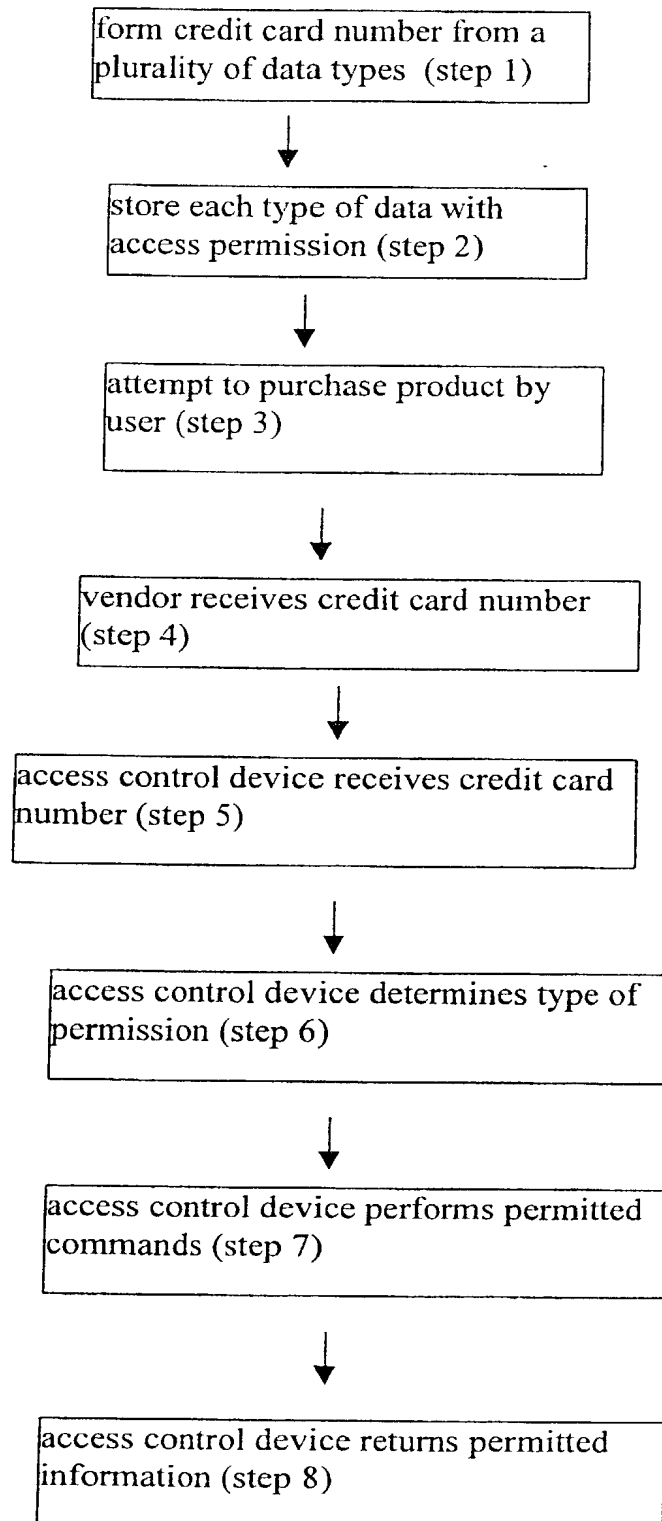


Figure 5





Docket No.  
M01/40

## Declaration and Power of Attorney For Patent Application

### English Language Declaration

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled  
**REMOVABLE, ACTIVE, PERSONAL STORAGE DEVICE, SYSTEM AND METHOD**

the specification of which

(check one)

☐ is attached hereto.

☒ was filed on 10 SEPTEMBER 2000 as United States Application No. or PCT International Application Number 10/089,188  
and was amended on \_\_\_\_\_

(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor's certificate, or Section 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)			Priority Not Claimed
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/>
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/>
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/>

I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional application(s) listed below:

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

I hereby claim the benefit under 35 U. S. C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, C. F. R., Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

**PCT/IL00/00555**

**10 SEPTEMBER 2000**

**PENDING**

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

**09/550,491**

**17 APRIL 2000**

**PENDING**

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

**09/409,091**

**30 SEPTEMBER 1999**

**ISSUED**

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (list name and registration number)

D. GRAESER 40,000

①

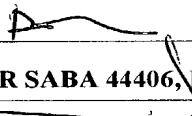
Send Correspondence to:

DR. D. GRAESER LTD.  
C/O THE POLKINGHORNS  
9003 FLORIN WAY, UPPER MARLBORO, MD 20773, USA

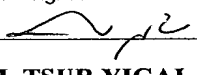
Direct Telephone Calls to: (name and telephone number)

+301 952 1011

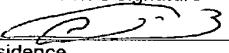
1-00

Full name of sole or first inventor <b>DOV MORAN</b>	
Sole or first inventor's signature 	Date March 26, 02
Residence <b>15 ITAMAR BEN AVI, KFAR SABA 44406, ISRAEL</b> ILX	
Citizenship <b>ISRAELI</b>	
Post Office Address <b>15 ITAMAR BEN AVI, KFAR SABA 44406, ISRAEL</b>	

2-00

Full name of second inventor, if any <b>GIDI ELAZAR</b>	
Second inventor's signature 	Date 26 Mar 02
Residence <b>2 NETAFIM, TSUR YIGAL 44862, ISRAEL</b> ILX	
Citizenship <b>ISRAELI</b>	
Post Office Address <b>2 NETAFIM, TSUR YIGAL 44862, ISRAEL</b>	

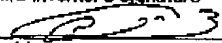
3-00

Full name of third inventor, if any <b>DAN HARKABI</b>	
Third inventor's signature 	Date <b>26/3/2002</b>
Residence <b>17 MESHEK, MOSHAV LAHISH 79360, ISRAEL</b> <b>TLX</b>	
Citizenship <b>ISRAELI</b>	
Post Office Address <b>17 MESHEK, MOSHAV LAHISH 79360, ISRAEL</b>	


Full name of fourth inventor, if any <b>RAZ DAN</b>	
Fourth inventor's signature	Date
Residence <b>30 BOROHOV STREET, APT 6, TEL AVIV 64252, ISRAEL</b>	
Citizenship <b>ISRAELI</b>	
Post Office Address <b>30 BOROHOV STREET, APT 6, TEL AVIV 64252, ISRAEL</b>	

Full name of fifth inventor, if any	
Fifth inventor's signature	Date
Residence	
Citizenship	
Post Office Address	

Full name of sixth inventor, if any	
Sixth inventor's signature	Date
Residence	
Citizenship	
Post Office Address	

Full name of third inventor, if any <b>DAN HARKABI</b>	
Third inventor's signature 	Date <b>26/3/2002</b>
Residence <b>17 MESHEK, MOSHAV LAHISH 79360, ISRAEL</b>	
Citizenship <b>ISRAELI</b>	
Post Office Address <b>17 MESHEK, MOSHAV LAHISH 79360, ISRAEL</b>	

4-00

Full name of fourth inventor, if any <b>RAZ DAN</b>	
Fourth inventor's signature 	Date <b>8/4/2002</b>
Residence <b>30 BOROHOF STREET, APT 6, TEL AVIV 64252, ISRAEL</b> <b>ILX</b>	
Citizenship <b>ISRAELI</b>	
Post Office Address <b>30 BOROHOF STREET, APT 6, TEL AVIV 64252, ISRAEL</b>	

Full name of fifth inventor, if any	
Fifth inventor's signature	Date
Residence	
Citizenship	
Post Office Address	

Full name of sixth inventor, if any	
Sixth inventor's signature	Date
Residence	
Citizenship	
Post Office Address	